

<b>Notice to Comply</b>	Application No. 09804481	Applicant(s) GRAAF ET AL.	
	Examiner AMBER D. STEELE	Art Unit 1639	

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

Applicant must file the items indicated below within the time period set in the Office action to which the Notice is attached to avoid abandonment under 35 U.S.C. § 133 (extensions of time may be obtained under the provisions of 37 CFR 1.136(a)).

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):

- ☒ 1. This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998).
- ☐ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
- ☐ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
- ☒ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
- ☒ 7. Other: See the attached "Defective CRF" and the Office action.

**Applicant Must Provide:**

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing".
- ☒ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment specifically directing its entry into the application.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d).

For questions regarding compliance to these requirements, please contact:

For Rules Interpretation, call (571) 272-2510

For CRF Submission Help, call (571) 272-2501/2583.

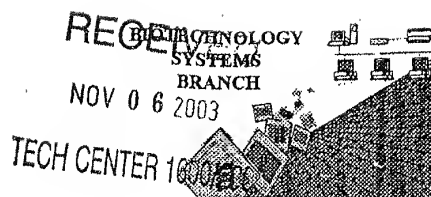
PatentIn Software Program Support

Technical Assistance.....703-287-0200

To Purchase PatentIn Software.....703-306-2600

**PLEASE RETURN A COPY OF THIS NOTICE WITH YOUR REPLY**

**RAW SEQUENCE LISTING**  
**ERROR REPORT**



The Biotechnology Systems Branch of the Scientific and Technical Information Center (STIC) detected errors when processing the following computer readable form:

Application Serial Number: 09/804,481A  
Source: 1600  
Date Processed by STIC: 11/3/2003

THE ATTACHED PRINTOUT EXPLAINS DETECTED ERRORS.

PLEASE FORWARD THIS INFORMATION TO THE APPLICANT BY EITHER:

- 1) INCLUDING A COPY OF THIS PRINTOUT IN YOUR NEXT COMMUNICATION TO THE APPLICANT, WITH A NOTICE TO COMPLY or,
- 2) TELEPHONING APPLICANT AND FAXING A COPY OF THIS PRINTOUT, WITH A NOTICE TO COMPLY

FOR CRF SUBMISSION AND PATENTIN SOFTWARE QUESTIONS, PLEASE CONTACT MARK SPENCER, TELEPHONE: 703-308-4212; FAX: 703-308-4221

Effective 12/13/03: TELEPHONE: 571-272-2510; FAX: 571-273-0221

TO REDUCE ERRORED SEQUENCE LISTINGS, PLEASE USE THE CHECKER VERSION 4.1 PROGRAM, ACCESSIBLE THROUGH THE U.S. PATENT AND TRADEMARK OFFICE WEBSITE. SEE BELOW FOR ADDRESS:

<http://www.uspto.gov/web/offices/pac/checker/chkr41note.htm>

Applicants submitting genetic sequence information electronically on diskette or CD-Rom should be aware that there is a possibility that the disk/CD-Rom may have been affected by treatment given to all incoming mail.

Please consider using alternate methods of submission for the disk/CD-Rom or replacement disk/CD-Rom.

Any reply including a sequence listing in electronic form should NOT be sent to the 20231 zip code address for the United States Patent and Trademark Office, and instead should be sent via the following to the indicated addresses:

1. EFS-Bio (<<http://www.uspto.gov/efb/efs/downloads/documents.htm>> , EFS Submission User Manual - ePAVE)
2. U.S. Postal Service: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450
3. Hand Carry directly to (EFFECTIVE 12/01/03):  
U.S. Patent and Trademark Office, Box Sequence, Customer Window, Lobby, Room 1B03, Crystal Plaza Two, 2011 South Clark Place, Arlington, VA 22202
4. Federal Express, United Parcel Service, or other delivery service to: U.S. Patent and Trademark Office, Box Sequence, Room 1B03-Mailroom, Crystal Plaza Two, 2011 South Clark Place, Arlington, VA 22202

Revised 10/08/03



1600

## RAW SEQUENCE LISTING

PATENT APPLICATION: US/09/804,481A

DATE: 11/04/2003

TIME: 13:57:42

Input Set : N:\Crf4\11032003\I804481A.raw

Output Set: N:\CRF4\11042003\I804481A.raw

1 <110> APPLICANT: de Graaf, David  
 2 Lander, Eric S.  
 3 <120> TITLE OF INVENTION: Novel Small Nuclear RNA Vectors and Uses  
 4 Therefor  
 5 <130> FILE REFERENCE: 2825.1023-001  
 C--> 6 <140> CURRENT APPLICATION NUMBER: US/09/804,481A  
 C--> 7 <141> CURRENT FILING DATE: 2001-03-12  
 8 <150> PRIOR APPLICATION NUMBER: 60/188,304  
 9 <151> PRIOR FILING DATE: 2000-03-10  
 10 <160> NUMBER OF SEQ ID NOS: 11  
 11 <170> SOFTWARE: FastSEQ for Windows Version 4.0  
 12 <210> SEQ ID NO: 1  
 13 <211> LENGTH: 4639  
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 16 <400> SEQUENCE: 1  
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 20 cgagcaaaat ttaagctaca acaaggcaag gcttgaccga caattgagct cgttaccgcg 180  
 21 ggagatccgg taaggaccag cttctttggg agagaacaga cgcagggggc ggaggggaaa 240  
 22 agggagaggg agacgtcact tccccttggc ggctctggca gcagattggt cggttgatg 300  
 23 gcagaaaggg agacggggac tgggcaaggg actgtcggtg acatcacgga cagggcgact 360  
 24 tctatgtaga tgaggcagcg cagaggctgc tgcttcgcca cttgctgctt caccacgaag 420  
 25 gaggttcccg gccctgggag cgggttcagg accgctgac ggaagtgaga atcccagctg 480  
 26 tgtgtcaggg ctggaaaagg ctcgggagtg cgcggggcaa gtgaccgtgt gtgtaaagag 540  
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 28 taccatcgat tgcaggggag ataccatgat cacgaagggt gttttccag ggcgaggctt 660  
 29 atccattgca ctccgatgt gctgaccctt gcgatttccc caaagcttgg aaactcgact 720  
 30 gcataatttg tggtagtggg ggactgcgtt cgcgctttcc ectgacttcc tggagtcca 780  
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Does Not Comply  
Corrected Diskette Needed

P.3

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DATE: 11/04/2003

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Input Set : N:\Cr4\11032003\I804481A.raw

Output Set: N:\CRF4\11042003\I804481A.raw

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92   aacagggaag caaaatgccg caaaaaaggg aataaggcgc acacggaaat gttgaatact 4500
93   catactcttc ctttttcaat attattgaag catttatcag ggttattgtc tcatgagcgg 4560

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## RAW SEQUENCE LISTING

PATENT APPLICATION: US/09/804,481A

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Input Set : N:\Crf4\11032003\I804481A.raw

Output Set: N:\CRF4\11042003\I804481A.raw

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101 <220> FEATURE:
102 <223> OTHER INFORMATION: single-stranded restriction fragment overhand
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112 <400> SEQUENCE: 3
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124      25, 26, 27, 28, 29, 30, 31, 32, 33
125 <223> OTHER INFORMATION: n = A,T,C or G
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138      20, 21, 27, 28, 29, 30, 31, 32, 33
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147 <220> FEATURE:

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*Handwritten notes:*  
 10 "n"s at these locations (see below)  
 "Y" is at location 18.  
 22 (see below)  
 23, 24, 25, 26  
 16, there is an "n"  
 n's are at these locations